

# 30e-3: ARE YOU READY?

Rule 30e-3 creates new opportunity for annuity and life insurance providers.

SEC rule 30e-3 aims to modernize distribution to improve contract owner education and communication. It offers a powerful opportunity for insurance carriers to reduce costs and transform the way they engage contract owners.

## TALK TO BROADRIDGE

Each of these capabilities need to be tightly coupled and synchronized to maximize value. Broadridge can easily capture investor preferences, apply your business rules, then create and send notices to every contract owner. Plus, we can manage full book fulfillment on an ad-hoc basis and for investors who opt-out of notice delivery.

Contact Gavin Long today at  
[gavin.long@broadridge.com](mailto:gavin.long@broadridge.com).

Key capabilities you need in order to turn 30e-3 into your advantage:

### CAPTURE AND MANAGE CONTRACT OWNER PREFERENCES



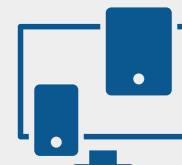
At any point during the 30e-3 transition period, contract owners may elect to receive full paper reports on an ad-hoc or ongoing basis. You need the tools to seamlessly capture and manage their preferences.

### EXECUTE NOTICE & FULL BOOK FULFILLMENT



Engage contract owners based on their preferences. A dynamic fulfillment model should seamlessly accommodate delivery across all print and digital channels.

### GIVE CONTRACT OWNERS WEB ACCESS TO FULL REPORTS



Your shareholder report and quarterly holdings must be publicly accessible, free of charge, at a specified website. Ensure you can deliver the one-click digital access required to stay compliant.